



RESPONSE TO LOUISIANA PUBLIC SERVICE COMMISSION

REQUEST FOR PROPOSALS 14-20

FOR

INDEPENDENT TECHNICAL CONSULTANT

IN

*Re: RFP 14-20 Monitoring and participation on behalf of the
LPSC in MISO, OMS and ERSC-related matters*

SUBMITTAL DATE:

December 4, 2014

SUBMITTAL TIME:

12:00 P.M.

PREPARED AND SUBMITTED BY:

THE SISUNG GROUP
FOR
UNITED PROFESSIONALS COMPANY
201 ST. CHARLES, AVE., STE. 4240
NEW ORLEANS, LOUISIANA 70170-1048

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Appendix A: Resumes of Professionals Assigned to RFP 14-20



A. EXECUTIVE SUMMARY

United Professionals Company ("UPC"), a member of the Sisung Group, is pleased to submit its response to the Louisiana Public Service Commission's ("LPSC" or "Commission") Request for Proposals 14-20 for an independent technical consultant ("RFP"). We hope to have the opportunity to serve the Commission through assisting Commission Staff ("Staff") in participating in and monitoring the Midcontinent Independent System Operator, Inc. ("MISO"), Organization of MISO States ("OMS"), and Entergy Regional State Committee ("ERSC") related matters (collectively referred to herein as the Commission's "MISO Consultant").

UPC is a New Orleans, Louisiana-based financial advisory and consulting company. As a Louisiana-based firm, with the majority of our staff and clients in Louisiana, our awareness of the importance of issues presented for the Commission's MISO Consultant to assist Commission Staff with cannot be overstated. For this reason, UPC has built a team of regulatory and utility finance and economics professionals, the members of which were specifically selected for their ability to serve the needs of the LPSC. The UPC consultants who would serve the Commission in this engagement have a vast amount of experience with analyzing the operations, books and records of utility companies, and LPSC retail ratemaking proceedings and jurisdictional issues. Our consultants also have extensive knowledge and expertise in the areas of MISO planning and cost allocation processes, as well as a firm understanding of the issues related MISO, OMS and ERSC necessary to protect Commission and Commission-jurisdictional ratepayer interests in matters involving Entergy Gulf States and Entergy Louisiana (collectively "Entergy") and Cleco Power LLC ("Cleco").

UPC appreciates this opportunity to respond to the Commission's RFP. Our professionals are excited about the opportunity to serve the Commission as its MISO Consultant. The combination of our team members' educational backgrounds, achievements, specific expertise, and practical experience serving the Commission best positions us to provide the LPSC with the most extensive and comprehensive service as its MISO Consultant. For more information on our knowledge and experience, please contact the client references that we have provided.

Very truly yours,

R. Lane Sisung
Managing Director





B. RESUME QUALIFICATIONS AND EXPERIENCE

1. The Sisung Group

UPC is a member of the New Orleans, Louisiana-based Sisung Group, which is comprised of related companies that provide investment banking, asset management, venture capital and business consulting and development services to corporations, individuals, institutions and governmental agencies.

- **United Professionals Company (“UPC”)** offers financial consulting, transaction structuring, business development, real estate development, and revenue and cash flow development services to clients operating in the public, private and non-profit sectors. UPC specializes in the areas of public utility financial and accounting analysis, mergers and acquisitions consulting, healthcare revenue maximization, public infrastructure and facilities development, energy efficiency and project management services.
- **Sisung Securities Corporation (“SSC”)** is a full-service investment banking firm that offers a range of services, including equity and fixed income underwritings, financial advisory services and securities brokerage services in addition to other related financial services. Clients served include public, corporate, retail and institutional entities. SSC is registered with the Securities and Exchange Commission (SEC) and is a member of the Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB) and the Securities Investor Protection Corporation (SIPC).
- **Sisung Investment Management Services (“SIMS”)** provides investment advisory services to corporate and public institutions, as well as to high net worth individuals. SIMS is an investment advisor registered with the Securities and Exchange Commission (SEC).
- **Sisung Capital** provides alternative financing products to small and medium-sized businesses, thus positively impacting economic development in the communities in which it invests. Sisung Capital invests capital and resources in companies in need of funding for growth and profitability. As a licensed Louisiana Capital Company (“CAPCO”) and Business and Industrial Development Corporation (“BIDCO”), Sisung Capital has primarily focused its investments in Louisiana. By leveraging state tax credit incentive programs, Sisung Capital has assisted start-up and expanding Louisiana businesses in raising and investing over \$25 million dollars in communities statewide. Sisung Capital has worked with companies operating in a wide variety of industries including: telecommunications, print manufacturing, construction, weatherization services, oil & gas, healthcare, media and government services sectors.





Unlike most financial firms which focus solely on financial matters, UPC and its affiliated Sisung Group companies have extensive experience in a broad range of financially related areas involving state and local governments. Some of the Sisung Group's unique accomplishments include:

- Providing written and live testimony before the Commission to address and advise the Commission regarding the securitization bonds issued by Entergy Louisiana Investment Recovery Funding I, L.L.C., the designated special purpose entity created by ELL for recovery of the costs related to the Little Gypsy 3 repowering project, and the Commission's issuance of a financing order under Louisiana's 2010 enabling legislation, as codified in LA. R.S. 45:1251-1216.
- Acting as outside consultant to the Commission in reviewing issues related to the evaluation of the proposed transfer of transmission assets in *Docket No. U-32538- Entergy Louisiana, LLC, Entergy Gulf States Louisiana, LLC, Mid South TransCo LLC, Transmission Company Louisiana I, LLC, Transmission Company Louisiana II, LLC, ITC Holdings Corp. and ITC Midsouth LLC, ex parte. In re: Joint Application for Approval of Change of Ownership of Electric Transmission Business, for Certain Cost-Recovery Adjustments, and for Related Relief* and the related dockets before the Federal Energy Regulatory Commission.
- Acting as outside consultants to the Commission in reviewing issues related to the evaluation of *Docket No. 32707- Entergy Gulf States, LLC, In re: Application for Authority to Change Rates, Approval of Formula Rate Plan and for Related Relief* and *Docket No. 32708- Entergy Louisiana, LLC, In re: Application for Authority to Change Rates, Approval of Formula Rate Plan and for Related Relief*.
- Performing financial analysis and rendering testimony on the proposed issuance and securitization of storm recovery bonds, under La. R.S. 45:1331-1328, for permanent rate-financed recovery of system restoration costs related to Hurricanes Isaac and the replenishment of storm reserve escrow accounts in *Docket No. U-32764 Energy Gulf States Louisiana LLC*



and Energy Louisiana LLC, ex parte. In re: Joint Application for Recovery in Rates of Costs Related to Hurricane Isaac, Determination of Appropriate Storm Reserve Escrow Amounts and Related Relief.

- Serving as an Outside Technical Consultant in *Docket No. R-26968-LPSC, ex parte, In re: Review of the General Order Dated March 12, 1999* by assisting the Commission in the establishment of a clear definition of “pole attachment,” and thereby clarifying the pedestal issue, clearly defining spacing/measurements of attachments on poles, and evaluating whether the existing pole attachment rental rate formula and rate freeze imposed by the General Order dated March 12, 1999 should continue to remain in effect, and, if not, developing an alternate methodology and verifying a new formula for pole attachment rental rates.
- Serving as an independent technical consultant in *Docket No. I-33013, Southwestern Electric Power Company, ex parte. In re: 2013 Integrated Resource Planning process for SWEPCO pursuant to General Order dated April 20, 2012*, by assisting the LPSC in reviewing and evaluating the Company’s integrated resource plan filings, including comprehensive sets of potential resource options, supply-side, demand-side and economic transmission resource options, to determine a base or “reference resource” plan that offers the most economic and reliable combination of resources satisfying the forecasted load requirements.
- Serving the Commission on *Docket No. R-32975-LPSC, ex parte, In re: Examination of long-term natural gas hedging proposals*, by assisting in: determining whether it is in the public interest for LPSC-jurisdictional investor owned utilities to accept long-term (five, seven, ten and fifteen year), fixed-price hedging proposals for natural gas supply contracts, and if so, determining and/or developing an appropriate methodology for expedited, streamlined Commission approval of such contracts.
- Serving the Commission on *Docket No. R-32138-Wastewater Treatment Systems & Operations, LLC, ex parte. in relation to the request for an increase in water and wastewater rates* by assisting in reviewing, documenting and verifying the upgrades that Wastewater Treatment Systems & Operations, LLC has stated it has made in filings in the above-captioned docket.
- Assisting the Commission on *Docket No. U-33244 Entergy Louisiana, LLC (“ELL”) and Entergy Gulf States Louisiana, LLC (“EGSL”), ex parte, In re: Submission of Business Combination Study regarding potential business combination* by assisting Commission Staff in reviewing the technical and jurisdictional issues related to the Commission review of the Companies’ Application.
- Working with Louisiana’s legislative leadership to design a proposed capital outlay revolving loan program to expand capital outlay capacity by leveraging State funds and engaging local government financial participation in capital outlay funding through low cost loans.



- Customizing a cash flow model for Jefferson Parish which establishes protocols for transfers between checking and operating accounts and maximizes investment revenue for a parish-wide pooled cash fund.
- Developing and implementing innovative strategies to assist healthcare providers, local governments, and the Louisiana Department of Health and Hospitals (“DHH”) to finance services through utilization of unused Medicaid Upper Payment Limit Caps (“UPL’s”), Certified Public Expenditures (“CPE’s”), Intergovernmental Transfers (“IGT’s”) and Public Private Partnerships (“PPP’s”).
- Design and administrative management of a statewide financing and construction program for the Louisiana Community and Technical College System including budgeting, accounting, financial advisory services for bond issues, construction fund investment management, board presentations, and other administrative services.
- Proposing and obtaining passage of legislation to allow political subdivisions to diversify their investments into low risk municipal bonds in order to increase investment earnings, and successful implementation and management of such investment programs for our clients.
- Modeling net state tax-supported debt and providing sensitivity analysis and recommendations to the state of Louisiana, Office of the Governor, Division of Administration (“DOA”) regarding the timing and sizing of state debt issues to fund capital outlay needs.
- Comprehensive student housing-related services for the University of Louisiana System, including analysis of needs, financial forecasting, developer solicitation and evaluation/selection, underwriter solicitation and evaluation/selection advisory services for bond issuance, construction fund investment management, review of operating results, and oversight of developer/manager’s ongoing operations.
- Serving the state DOA by providing financial advisory services on an “on-call” basis.
- Assisting the state of Louisiana in securing \$83.5 million to support TOPS scholarships for Louisiana’s young people through acting as financial advisor for the refinancing of the state’s tobacco settlement bonds.

As demonstrated by the above, our professionals are highly experienced in multifaceted areas, including financial analysis, program design, government relations, legislative advocacy, policy initiatives, financing transactions, and legal and regulatory budgeting, planning and administration.

Provided below are a list of five (5) references who can speak on behalf of the Sisung Group’s abilities, integrity, and professional reputation in acting as financial advisor to a private or governmental entity.



Client	Lead Contact	Telephone
Jefferson Parish	Chris Roberts Parish Council Chairman	(504) 736-6615
Louisiana Community and Technical College System	J Dr. Monty Sullivan President	(225) 922-1643
West Jefferson Medical Center (Jefferson Parish Hospital Service District No. 1)	Nancy Cassagne CEO	(504) 349-1102
Louisiana Local Government Environmental Facilities and Community Development Authority (LCDA)	Ty Carlos Executive Director	(225) 924-6150
State of Louisiana, Office of the Governor, Division of Administration	Ben Huxen Chief Advisor to the Commissioner of Administration	(225) 342-7058

More information on The Sisung Group is also available at www.sisung.com.

2. United Professionals Company

UPC, which manages the Sisung Group's non-regulated financial advisory and consulting activities, provides clients operating in the public, private and non-profit sectors with a broad range of services from its offices in New Orleans, Covington, and Baton Rouge. These services include, but are not limited to: financial analysis, transaction structuring, business plan development, real estate development, and revenue maximization. UPC's public sector clients include state governments, parish and county governments, cities, towns, state utility regulatory authorities, school districts, hospitals, levee districts, housing authorities, universities, port authorities, law enforcement districts, charter schools and more.

UPC and its affiliated Sisung Group companies are multifaceted and have extensive experience in a broad range of financially-related areas involving state and local government throughout Louisiana. UPC's dedicated and accomplished staff includes previously high-ranking government and financial institution officials with extensive management and financial experience, in addition to:

- Investment Bankers
- Securities Traders
- Financial Analysts
- Attorneys
- Certified Public Accountants
- Regulatory Economists
- Published Academics
- Former Public Administrators



Our professionals are highly educated, experienced, and published in multidisciplinary areas including:

- Financial Analysis
- Program Design
- Government Relations
- Legislative Advocacy
- Policy Initiatives
- Financing Transactions
- Legal and Regulatory Budgeting, Planning, and Administration

Successfully utilizing the strengths, talents and expertise of our seasoned professionals, we are able to provide customized, quality service to our clients. Our professionals have represented local, state and federal issuing authorities, cities, parish and county governments, hospital districts, 501(c)(3) corporations, state agencies, state governments and commissions, and corporations.

As a specialty branch of these financial advisory and consulting services, UPC has built a team of regulatory and utility finance and economics professionals, the members of which were specifically selected for their ability to serve the needs of the LPSC. UPC has built a team with extensive practical experience in the field of public utility regulation that includes similar practice before the LPSC and other regulatory agencies. Our professionals have significant experience in the presentation of recommendations involving public utility regulation and other regulatory issues on administrative and judicial levels, including experienced in the operations, books and records of utility companies and knowledge of:

- Louisiana Public Service Commission ratemaking and jurisdictional issues;
- All aspects of electric utility retail ratemaking proceedings; and
- Appropriate accounting standards and practices for electric utilities.

UPC's consultants are experienced in utility and MISO (or other RTO) governance, planning and cost allocation processes and the same for investor-owned electric utility companies; they are qualified and prepared to provide detailed technical and policy analyses and recommendations. Indeed, our consultants' combined experience affords UPC the ability to offer Commission Staff a broad knowledgebase spanning a variety of regulatory topics, including:

- Appropriate accounting standards and practices for electric utilities
- Resource planning and resource adequacy, including demand response
- Cost recovery mechanisms for utilities



- Regional transmission planning organizations; including ancillary services markets, day ahead energy and operating reserves markets and real time energy and operating reserves markets
- Transmission hedges, such as annual revenue rights and financial transmission rights;
- Entergy's and Cleco's transmission assets and operations
- Transmission assets, operations and engineering.
- LPSC Orders related to fuel cost recovery, Qualified Facilities, avoided cost, certification of transmission, certification of generation or power supply purchases, and competitive procurement of supply side resources
- FERC Orders governing Entergy, Cleco and MISO, including MISO tariffs
- Market forecasting and futures as it relates to transmission planning
- Federal environmental regulations impacting or potentially impacting MISO operations and/or policy

UPC's participation in prior LPSC dockets has also left our professionals specifically knowledgeable about:

- The workings of the MISO market,
- The manner in which financial transmission rights and auction revenue rights are awarded,
- How supply adequacy can be satisfied,
- Demand response activities in MISO,
- Transmission planning,
- Cost allocation,
- Markets and tariffs and related matters

UPC's team of regulatory and utility finance and economics professionals is well qualified to provide the services that the LPSC has requested in Request for Proposal 14-20. We are qualified and prepared to engage in all activities of MISO, OMS and ERSC as necessary to monitor and protect the interests of the LPSC and Louisiana ratepayers; review and analyze data and provide technical and policy recommendations to the Commission on all related matters, including but not limited to MISO's transmission planning processes, cost allocation methodologies, governance; ERSC resolutions and actions; OMS comments, surveys, and studies; be prepared to render expert testimony, and be cross-examined if needed, with respect to all of the issues addressed in this request for proposals and which are likely to arise in the proceeding. All members of our team are qualified and prepared to:

- Participate in MISO, OMS and ERSC working groups, subgroups, and committees
- Attend MISO, OMS and ERSC meetings





- Review and analyze data and filings related to MISO planning and cost allocation processes
- Assist the Commission Staff with any other MISO, OMS and ERSC-related issues necessary to protect Commission and Commission-jurisdictional ratepayer interests in matters involving Entergy and/or Cleco

The resumes of our highly qualified staff of professionals and expert consultants who would be assigned to assist the Commission, as well as the functions that would be performed by each, are detailed in *Appendixes A*. We have included a full resume for each staff member and consultant who will be assigned to work on this engagement, including names, positions, education, and professional experience.



C. PLAN OF ACTION

1. Methodology

The UPC plan of action uses a collaborative, standardized methodology that ensures efficiency, effectiveness, and proper controls. This methodology leverages our team's in-depth understanding of Commission and state of Louisiana law and regulatory precedent, the regulatory process, and our specially-selected consultants' prior experience with MISO, OMS, and the ERSC-related issues.

2. Approach

If UPC is selected as the Commission's independent technical consultant, our team of consultants would actively work to ensure that the LPSC's MISO, OMS, and ERSC interests are adequately protected.

Detailed below is an outline of UPC's proposed approach for assisting the Commission on this engagement. UPC fully understands, however, that if chosen, the Commission and its Staff shall determine how the tasks will be carried out.

a. Assessing Commission and Commission Staff Communication Needs

UPC's first point of action would be to meet with Commission Staff and outside counsel to assess its communication-based needs. The Commission's MISO Consultant will be reviewing and assessing an abundance of information. It's important for that MISO Consultant to understand Staff's expectations and preferences for how, and in what form, that information is to be disseminated. Establishing proper communication channels ensures that proper parties receive appropriate information, timely, in a form that makes it relevant, so that appropriate action can be taken if needed.

b. Development of a Monitoring System

Once an assessment has been made of the Commission's and Commission Staff's communication needs, UPC would develop and implement a system for monitoring MISO, OMS, and the ERSC-related issues and filings before the Arkansas Public Service Commission, Mississippi Public Service Commission, City of New Orleans and Public Utility Commission of Texas, the Federal Energy Regulatory Commission that could impact LPSC and Commission-jurisdictional ratepayers. The development of this system would be very involved and require different phases. The first phase of this monitoring system would be centered on pulling down and consolidating information into a workable database, where it could then be filtered and analyzed by UPC's consultants in the second phase. Phase three would involve UPC putting that analyzed information into a form that then makes it useful by communicating issues, details, parties, and dates in the manner that Commission Staff previously expressed a preference for.



c. Monitoring and Participation

Following the successful development of a monitoring system, UPC's consultants will work closely with Commissioners and Commission Staff in monitoring and participating in any MISO, OMS, and the ERSC-related issues in order to protect Commission and Commission-jurisdictional ratepayers in matters involving Entergy and Cleco, including but not limited to:

- Participating in MISO, OMS, and ERSC working groups and committees via conference call or, when appropriate, in person
- Reviewing proposed practices, policies and procedures
- Preparing technical analyses and providing policy and technical recommendations to the Commission Staff and Commission
- Participating in all relevant meetings, conference calls, and training sessions
- Providing regular briefing and updates to the Commission Staff on all MISO, OMS and ERSC matters in which applicants are participating;
- Attending LPSC technical conferences and Business and Executive Sessions regarding MISO, OMS and ERSC or MISO-related matters.

UPC would remain constantly engaged in all levels of MISO's stakeholder and regulatory working groups, committees, and subcommittees in order to keep the LPSC informed and protect Louisiana ratepayers. In doing so, our consultants would keep Staff continuously apprised of a wide variety of topics, including: the workings of the MISO market, the manner in which financial transmission rights and auction revenue rights are awarded, how supply adequacy can be satisfied, demand response activities in MISO, transmission planning, cost allocation, markets and tariffs and related matters. UPC would attend and participate in ERSC working groups, regularly meetings and conference calls with Staff members of the other member commissions to collaborate and discuss issues common to those commissions. UPC would also attend and participate in OMS Board of Directors meetings, as well as other scheduled meetings and calls.

If UPC is selected as the Commission's independent technical consultant, our consultants would testify at the Commission's Business and Executive Sessions, as needed, and assist Staff in preparation of any briefings or filings. UPC's approach to project management would ensure that Commission Staff are provided with timely notice of any FERC filings regarding the ERSC, OMS, or MISO that may impact LPSC jurisdiction or Louisiana ratepayers as those filings are made.

3. Workload Management and Distribution

R. Lane Sisung and Paul T. Chastant, III will serve as contacts to LPSC, with Mr. Sisung serving as the primary contact. Mr. Sisung and the team will remain in constant contact with Commissioners, Commission Staff, and intervening parties regarding any and all material matters so as to together provide seamless coverage for the LPSC. Together we will work with





Commissioners, Commission Staff and intervening parties to assess needs, determine deliverables and timelines, coordinate our firm's resources, and schedule meetings with the LPSC and other parties to provide analysis and advice.

UPC's staff utilizes a collaborative and fluid team approach. Mr. Sisung will draw upon our individual team members' expertise as needed for understanding and edification of individual issues. UPC will also add team members with specific expertise when it is the best interest of Commission. By obtaining and assigning the proper specialist to individual issues as they arise, with Mr. Sisung acting as program administrator, we will be able to effectively meet LPSC's needs. All of this resource coordination will take place seamlessly to the Commission.

4. Action Plan Conclusion

UPC has included this preliminary work plan as reference for discussion with the Commission to demonstrate that we have identified the major tasks needed to successfully complete the work necessary to be the Commission's MISO Consultant. This preliminary work plan will form the basis of the detailed work plan that will be agreed upon with Commission Staff and used to perform this assignment.

UPC understands that if selected, as stated in this RFP, it would be expected to work closely with in-house Staff who has oversight over the work to be performed by UPC and will determine how the tasks will be carried out. UPC further understands that, Staff working closely with UPC would conduct planning sessions, and that planning sessions would be no less frequent than monthly to discuss a work plan for the estimated work to be performed for the coming month, or shorter period. If the work to be performed during the planning period needs to be upwardly adjusted significantly, UPC would notify Staff and seek its concurrence with the additional work prior to the additional work being performed.

We believe that our process ensures that the work products and deliverables will exceed the quality standards that the LPSC expects from the independent technical consultant awarded this contract.



D. COST PROPOSAL

UPC is pleased to submit the following price proposal to the Commission for consideration.

Our rates per hour vary per consultant from \$100.00/hour to \$400.00/hour, however due to the vast amount of resources necessary for the efficient and successful implementation of this engagement, our firm's vast amount of experience dealing with these issues, and our ability to capitalize on synergies and economies of scale, UPC would agree to discount certain professional's rates, and not to charge any consultant rate for this engagement at an amount greater than \$200.00/hour.

<u>TITLE</u>	<u>STANDARD BILLING RATE</u>	<u>DISCOUNTED BILLING RATE FOR THIS PROJECT</u>
President/Managing Director	\$ 400.00	\$ 200.00
Senior Vice President	\$ 300.00	\$ 200.00
Vice President	\$ 250.00	\$ 200.00
Assistant Vice President	\$ 150.00	\$ 150.00
Expert Consultant I	\$ 300.00	\$ 200.00
Expert Consultant II	\$ 250.00	\$ 200.00
Administrative Assistant	\$ 100.00	\$ 100.00

UPC understands that Staff would be able to request, and UPC would be required to provide, billing information at any time upon Staff's Request. Staff, working with UPC, would review all of the bills submitted for payment, including but not limited to conformity with the planning sessions and any amendments. UPC further understands that the Commission shall have the discretion to impose additional safeguards upon the potential bidders at the time such bids are put up for vote, and that it shall have the right to either accept such additional safeguards, or reject them and withdraw their bid. Further, at any time after UPC is selected and hired, the Staff and UPC may agree to further safeguards.

If selected, UPC bills would be rendered in strict accordance with the Commission's guidelines. UPC would only charge for actual hours of work performed and costs incurred. All UPC bills would be rendered monthly, and specifically identify and describe all work performed, the person performing such work, the hourly rate, the time and charge for such work, and show the total amount billed to date, in accordance with the Commission's guidelines found in August 4, 2014 General Order.

Expenses would also be separately disclosed with proof of such expenses attached. UPC would request reimbursement for only those travel-related expenses that are actually incurred. Expenses, where applicable, would be billed in accordance with state authorized rates as specified in the Travel Policies and Procedures Memorandum issued by the State of Louisiana, Division of Administration in effect at the time such expenses are incurred ("Allowable Expenses"). Any





expenses that exceed the Allowable Expenses would be borne by UPC, unless otherwise specified by the Commission. Further, billed expenses would not exceed twenty percent (20%) of the total amount of billed fees at any given time.





E. CONFLICTS OF INTEREST

Neither the Sisung Group, nor UPC has knowledge of any conflicts of interest that would impair our ability to serve the Commission on this engagement. Below are outlined disclosures that do not present any conflicts of interest, but are being included for the purpose of full disclosure.

1. SSC presently serves the State of Louisiana, Office of the Governor, Division of Administration through acting as a financial advisor, on an “on call” basis.



F. OTHER CURRENT REPRESENTATIONS

Below are outlined a list of other matters in which we currently represent the Commission:

1. UPC is presently representing the Commission in *Docket No. ER13-948* before the Federal Energy Regulatory Commission.
2. UPC also presently represents the Commission in *Docket No. U-32707- Entergy Gulf States, LLC, In re: Application for Authority to Change Rates, Approval of Formula Rate Plan and for Related Relief* and *Docket No. U-32708- Entergy Louisiana, LLC, In re: Application for Authority to Change Rates, Approval of Formula Rate Plan and for Related Relief* compliance dockets.
3. SSC presently represents the Commission in *Docket No. U-32764 Energy Gulf States Louisiana LLC and Energy Louisiana LLC, ex parte. In re: Joint Application for Recovery in Rates of Costs Related to Hurricane Isaac, Determination of Appropriate Storm Reserve Escrow Amounts and Related Relief* (“Joint Application”), specifically the securitization phase.
4. UPC also presently serves as an independent technical consultant in *Docket No. I-33013, Southwestern Electric Power Company, ex parte. In re: 2013 Integrated Resource Planning process for SWEPCO pursuant to General Order dated April 20, 2012.*
5. UPC also presently serves as an independent technical consultant in *Docket No. R-32975-LPSC, ex parte, In re: Examination of long-term natural gas hedging proposals.*
6. UPC also presently serves as an outside contract consultant to the Commission on *Docket No. R-32138-Wastewater Treatment Systems & Operations, LLC, ex parte. in relation to the request for an increase in water and wastewater rates.*
7. UPC also presently serves as an independent technical consultant in *Docket No. U-33244 Entergy Louisiana, LLC (“ELL”) and Entergy Gulf States Louisiana, LLC (“EGSL”)* [(hereinafter conjunctively referred to as “the Companies”)], *ex parte, In re: Submission of Business Combination Study regarding potential business combination.*



G. CONCLUSION

UPC appreciates this opportunity to respond to the Commission's RFP to serve as the LPSC's MISO Consultant through assisting Staff in monitoring issues related MISO, OMS and ERSC necessary to protect Commission and Commission-jurisdictional ratepayer interests in matters involving Entergy and Cleco. As detailed in the sections above, UPC and its affiliated Sisung Group companies are multifaceted and have extensive experience in a broad range of financially-related areas involving state and local governments. Because we are a Louisiana firm, all of whose employees are Louisiana residents, we take great pride in any and all work that we do that benefits the people of our state, and we believe this project provides just such an opportunity.

Our organization has extensive practical experience in the field of public utility regulation that includes similar practice before the LPSC and other regulatory agencies. UPC has built a team of hand-picked regulatory and utility finance and economics professionals and consultants specifically for their ability to serve the needs of the LPSC as its MISO Consultant. Together, our team of professionals and consultants has a vast amount of experience analyzing the operations, books and records of utility companies, and LPSC retail ratemaking proceedings and jurisdictional issues, in addition to their knowledge of MISO, OMS, and ERSC-related issues.

Our professionals have a distinctive style that encourages personal service, excellence and integrity, while our local presence offers the LPSC the benefits of geographic proximity and a wealth of institutional knowledge. Indeed, our robust understanding of Louisiana's laws, regulations, procedures, organization, political environment and financial position, as well as our experience serving the Commission in its review of prior dockets would allow us to be immediately effective in this engagement by virtue of not having to overcome the learning curve that any other firm might encounter. We believe that the combination of our professionals' experience, our local Louisiana presence, our national expertise, and our proven track record of nearly thirty years of exceptional quality and integrity in our dealings offers the Commission an excellent choice to assist the LPSC as its MISO Consultant.





Response to Louisiana Public Service Commission Request for Proposals for an Independent Technical Consultant

Appendix A: Resumes of Professionals Assigned to RFP 14-20





LAWRENCE J. SISUNG, JR.

Mr. Sisung earned a Bachelor's degree in Business Education and Accounting and a Master's degree in Administration, Supervision, and Statistics from Northwestern State University.

Mr. Sisung is a fully licensed General Securities Representative (Series 7), General Securities Principal (Series 24), Municipal Securities Principal (Series 53), Direct Participation Program Principal, Financial and Operations Principal (Series 27), Government Securities Principal and a Registered Investment Adviser Representative (Series 65), Investment Banking Representative (Series 79). Mr. Sisung is also a licensed real estate agent and broker with the state of Louisiana. He also holds a license as an insurance agent with the state of Louisiana.

Prior to forming The Sisung Group, Mr. Sisung worked in the public sector for over 20 years, eight of which he served as the Superintendent and Chief Executive Officer of the 35th largest school district in the United States. In this position he oversaw over 7,000 employees, 75,000 students and managed multi-million dollar operating and capital budgets. Mr. Sisung was able to take an early retirement from public service and use his experiences to form The Sisung Group. He has now amassed over four decades of finance, management and development experience as an executive, issuer, project manager, financial adviser, investment consultant, underwriter, asset manager, venture capitalist, real estate developer and general business consultant.

As President of Sisung Securities Corporation, Mr. Sisung has served on underwriting and financial advisory teams that have secured billions in funds. As a managing member of Sisung Investment Management Services, LLC, he has led the acquisition of hundreds of millions of dollars in assets for management and is responsible for the development of the firm's Tactical Asset Allocation investment approach. As a managing member of Sisung Capital, LLC, Mr. Sisung has created a company dedicated to providing alternative financing to small businesses so as to have a positive impact on their economic futures as well as those of the communities in which they reside. As a managing member of United Professionals Company, LLC, Mr. Sisung has created a firm that provides comprehensive assistance and solutions in the areas of business development and real estate projects.

Mr. Sisung is a member of numerous professional and business organizations and has served on FINRA's Business District Conduct Committee and as an arbitrator for FINRA.

Mr. Sisung will assist the LPSC by advising and consulting on an as needed basis.



**ROBERT LANE SISUNG**

Mr. Sisung earned a Bachelor of Science degree in Accounting from Louisiana State University. After graduation, he sat for and passed the Certified Public Accountant exam and subsequently attended Loyola University Law School where he earned a Juris Doctorate. After law school, Mr. Sisung earned an LLM in Tax Law from the University of Florida. Mr. Sisung is a fully licensed General Securities Representative, a licensed insurance agent in the state of Louisiana, and a member of the Louisiana State Bar.

Mr. Sisung has over two decades of experience in financial, real estate and investment transactions. His most recent projects include successful development and implementation of the Healthcare Finance Consulting and Financial Litigation Services business lines for the Sisung Group. The Sisung Group's work in these endeavors has produced hundreds of millions of dollars for the firms' clients and the state.

The Financial Litigation Services business line has primarily supported governmental entities in cases before tribunals. Mr. Sisung manages an array of financial experts in coordinating a cohesive approach to providing expert witness services for complicated financial and regulatory matters. Mr. Sisung himself also provides expert testimony and assist in the creation of settlements and orders of judgment. His personal involvement in the representation of the LPSC in both the proposed ITC Merger transaction, LPSC Docket No. U-32538, and the recent Entergy rate cases and related compliance filings, LPSC Docket Nos. U-32707 and U-32708, proved critical to the effective safeguarding of LPSC-jurisdictional rate payers.

Mr. Sisung's previous endeavors include the successful creation, development and implementation of the corporate finance and mergers and acquisitions operations of Sisung Securities Corporation; the creation and operations of Sisung Capital that include raising and investing millions of dollars in venture capital funds in Louisiana; the creation and operation of the Sisung Film Finance Division; and the growth and management of over \$1 billion dollars in assets under management in Sisung Investment Management Services. Mr. Sisung also manages and directs all Sisung Group real estate, project management, and business development projects ranging from large-scale multi-use developments to multi-facility capital infrastructure projects. Mr. Sisung sits on the investment committee for Sisung Investment Management Services, LLC and also serves as in-house counsel for the five companies that comprise the Sisung Group.

Mr. Sisung will serve as the primary point of contact for the LPSC. He will be responsible for coordinating and managing all of our firm's resources for LPSC.



**LAWRENCE J. SISUNG, III**

Mr. Sisung holds a Master of Business Administration degree with a concentration in economics from Southeastern Louisiana University.

Mr. Sisung is a fully licensed General Securities Representative (Series 7), General Securities Principal (Series 24), Municipal Securities Principal (Series 53), Financial and Operations Principal (Series 27) and Government Securities Principal, Investment Banking Representative (Series 79). Mr. Sisung is also a licensed real estate agent in the state of Louisiana

Mr. Sisung has spent over twenty years representing governmental agencies, political subdivisions, corporations and not-for-profit organizations at the local, state and national levels in the capacity of investment banker, financial advisor, policy advisor and securities structuring agent on billions of dollars of capital financings. He has extensive experience in financial analysis, creative transaction structuring and bringing transactions to market and is currently serving as a financial advisor to the state of Louisiana Division of Administration for state debt. Working in the capacity of investment banker, financial advisor or structuring agent, Mr. Sisung has participated in hundreds of municipal and private tax-exempt and taxable transactions that have brought billions of dollars of debt funding to public agencies. Within the state of Louisiana, he has represented almost every type of qualified issuing authority and has created new financing structures that have changed how certain state agencies raise capital.

In March, 2011, Mr. Sisung provided testimony in his capacity as financial adviser on behalf of the Commission in Docket No. U-30912 (Phase III) that resulted in securitization of over \$200 million in Little Gypsy cancellation costs of an interest rate of about 2%. Since the early 1990's Mr. Sisung has provided written affidavits and testified extensively before the Louisiana State Bond Commission, the State's commission from which state, local and conduit issuers must obtain constitutionally mandated regulatory approval to issue debt. He has also testified before legislative oversight committees in matters dealing public benefit and security transactions.

Mr. Sisung will assist the LPSC by advising and consulting on an as needed basis.



**JOHN MAYEAUX**

Mr. Mayeaux holds a Master of Business Administration degree with a concentration in finance in addition to a Bachelor of Science degree in computer science, both from Tulane University. He is a FINRA licensed General Securities Representative (Series 7) and a Municipal Securities Representative (Series 52), Investment Banking Representative (Series 79). Prior to joining Sisung Securities, Mr. Mayeaux worked in investment banking and commercial banking roles for several regional banks.

Mr. Mayeaux currently serves as Senior Vice President for The Sisung Group. His primary duties are with the Capital Markets Group at Sisung Securities. He is responsible for originating and structuring taxable and tax-exempt bond investment banking transactions; for structuring and pricing of interest rate derivatives; and for developing and structuring new and unique financing structures for the firm. He is exceptionally skilled in quantitative financial analysis and complex financial structuring.

Mr. Mayeaux has served as investment banker or financial advisor to Louisiana governmental agencies, 501(c)(3) non-profit organizations, and for-profit businesses since 1996. He is particularly focused on providing financing for capital projects for elementary, secondary and higher education clients. He has served as financial advisor for state debt to the State of Louisiana Division of Administration. He has also served as special consultant and provided testimony to the Louisiana Public Service Commission.

Mr. Mayeaux has created and implemented ground-breaking pooled financing programs for his clients. He has also completed numerous financings for state-sponsored special purpose economic development projects and for Company seeking taxable and tax-exempt industrial revenue bond financing. He is among the leading investment professionals in Louisiana for innovative lease/appropriation secured nonprofit financings.

Additionally, Mr. Mayeaux is a member of the Sisung Investment Management Services investment committee on which he specializes in municipal securities and advises on portfolio strategy. He also serves on the board of directors of Sisung Capital.

Mr. Mayeaux will assist the LPSC by advising and consulting on an as needed basis.



**PAUL THOMAS CHASTANT, III**

Mr. Chastant holds a Bachelor of Science in Accounting and a Minor in History from Louisiana State University. He also holds a Juris Doctor from Tulane University Law School. Mr. Chastant is a member of the Louisiana State Bar, a Certified Public Accountant licensed to practice in Louisiana, and a Certified Mergers and Acquisitions Advisor.

Mr. Chastant has accounting and financial advisory consulting experience in areas that include external audit, acquisition due diligence, revenue and expenditure growth projection, litigation support, and business valuation, gained while working as a Financial Consulting and External Audit Staff Accountant with Postlethwaite & Netterville, one of the largest accounting firms in the state of Louisiana. In this position, he assisted publicly traded companies' internal audit departments in assessing European foreign corporate subsidiaries' compliance with Sarbanes-Oxley Act reporting requirements. His financial consulting experience ranges from constructing detailed financial accounting and reporting policies and procedures manuals for clients to consulting on issues of cross-border financial consolidations, US GAAP financial reporting, and SEC reporting and compliance for US-based multi-national, public companies.

While at Tulane, Mr. Chastant's study of the law was concentrated on issues surrounding transaction law, including corporate law, mergers and acquisitions, practical aspects of hostile acquisitions, and corporate taxation. Prior to graduating Tulane, he completed an externship with The Louisiana Supreme Court Clerk of Court, where he was tasked with assisting in an ongoing revision to the Louisiana Supreme Court's Practice and Procedure Rules and assigned a project to begin drafting e-filing rules for the Louisiana Supreme Court.

Today, Mr. Chastant uses his accounting background and his legal expertise in his role as Vice President of Project Development for the Sisung Group. While at Sisung, Mr. Chastant has assisted in the successful development of the Financial Litigation Services Division and has used his qualifications and experience to help create a streamlined approach for financial experts to be able to support attorneys in the provision of litigation support for complex financial transactions. Mr. Chastant has assisted in every aspect from discovery to testimony to drafting of settlement agreements and orders for judgment.

He will serve the LPSC as the secondary point of contact for the LPSC. He and Mr. Sisung will be responsible for coordinating and managing all of our firm's resources for LPSC.





COURTNEY P. GUPTON

Ms. Gupton holds a Master of Business Administration degree with a concentration in finance from the University of New Orleans and a Bachelor of Science degree from Southeastern Louisiana University.

Ms. Gupton is licensed as a FINRA General Securities Representative (Series 7) and currently serves as Assistant Vice President for Capital Markets at The Sisung Group. She is responsible for the firm's variable rate bond remarketing, brokerage of bond reinvestment products, day-to-day bond investor operations, and ongoing compliance monitoring for the firm and its clients.

Ms. Gupton is also responsible for developing various analytical and comprehensive reports for universities, school boards, governmental and healthcare clients. She is particularly experienced with the financing and administration of bond funds for various colleges, universities and public school systems.

Ms. Gupton will assist the LPSC by advising and consulting on an as needed basis.





JAKE CHAPMAN

Jake Chapman joined The Sisung Group in December of 2012 and currently serves as the Accounting & Operations Intern, assisting in the daily accounting and administrative functions of The Sisung Group's New Orleans office.

Prior to joining The Sisung Group, Mr. Chapman worked for over five years with Winn-Dixie, the ninth largest traditional supermarket chain in North America, in various store-level customer service management positions before becoming a district operations trainer, providing store support to newly hired Winn-Dixie associates in both the New Orleans and Baton Rouge areas.

Mr. Chapman is currently pursuing his bachelors of accountancy from the Joseph A. Butt, S.J., College of Business Administration at Loyola University New Orleans, where he has been on the Dean's List every semester. Mr. Chapman also currently serves as the Vice President of Finance for Loyola's chapter of Alpha Kappa Psi, the world's oldest, largest, and most prestigious professional business fraternity.

Mr. Chapman will assist the LPSC by providing administrative functions on an as needed basis.





J. THOMAS MCGUCKIN, PH.D.

Dr. McGuckin holds a Bachelor of Arts in Economics from Pomona College, a Masters of Economics from Colorado State University, and a Ph.D. in Economics from the University of Wisconsin. Dr. McGuckin is a member of both the American Economics Association and the National Association of Regulatory Utility Commissioners.

Dr. McGuckin is retired from New Mexico State University where he was a Professor of Economics for thirty-three years. He has also been an associate for the Center for Public Utilities at New Mexico State University, whose program offerings are officially sectioned by the National Association of Regulatory Utility Commissioners.

Dr. McGuckin is an economics expert in the fields of utilities in electricity, water, wastewater, natural gas and solid waste. In this role, he has provided detailed technical and policy analyses and recommendations to numerous state and federal regulatory bodies. He has focused his consulting efforts on performing cost of service analysis, rate analysis and rate design, regulatory policy development, utility governance, and planning and cost allocation processes for investor-owned electric utility companies. His experience has allowed him to build an in-depth knowledgebase on a wide array of topics including: the appropriate accounting standards and practices for electric utilities, resource planning and resource adequacy, cost recovery mechanisms for utilities, regional transmission planning organizations and ancillary services markets, day ahead energy and operating reserves markets and real time energy and operating reserves markets, transmission hedges, annual revenue rights and financial transmission rights, fuel cost recovery, qualified facilities, avoided cost, certification of transmission, certification of generation or power supply purchases, competitive procurement of supply side resources, market forecasting and futures, and federal regulations impacting or potentially impacting utilities' operations and/or policy.

Dr. McGuckin now pulls from his background and experience in serving the Sisung Group as its chief expert regulatory consultant. He will serve the LPSC by providing it with consulting services on an as needed basis.



**ROYAL ALEXANDER**

Mr. Alexander holds a Bachelor of Arts from Louisiana State University. He also holds a Juris Doctor from Oklahoma City University School of Law. Mr. Alexander is a member of the Louisiana State Bar.

After law school, Mr. Alexander clerked for U.S. District Judge Rebecca F. Doherty in Lafayette, Louisiana and also interned for U.S. District Judge Richard Haik during the voluminous and complex Combustion environmental tort litigation involving CERTCLA/Superfund claims. Mr. Alexander is a frequent lecturer on state and federal constitutional issues, including implication eminent domain, the Takings Clause and

Commerce Clause/interstate commerce.

Mr. Alexander has worked in Washington D.C. for three different Members of Congress and also worked for the Federal Motor Carrier Safety Administration. During his tenure in Washington, he worked with the Department of Energy and FERC on several energy related issues. In Addition his work on DOE issues included numerous energy research project e.g. nuclear energy and security, energy tax incentives, and hydropower and geothermal energy. He currently has his private law practice in Shreveport, Louisiana.

The Louisiana Public Service Commission recently engaged Mr. Alexander to investigate Isaac recovery response for Entergy, Cleco, Swepco, Demco and Slemco.

Mr. Alexander will assist the LPSC by advising and consulting on an as needed basis.





ROBERT M. VOSBERG, P.E.

Education

B.S., Engineering, University of Wisconsin Platteville, 1978
Continuing Education Courses in Electrical Engineering, University of Wisconsin, Madison

Certifications

Registered Professional Engineer – State of Wisconsin.

Positions

Vosberg Consulting, LLC

07/12 to Current

Owner/Managing Member

Provide technical support to various clients relating to new transmission and generation facilities. Direct responsibility for interactions with multiple Transmission Providers (PJM, MISO including MISO South, ERCOT, SPP, WECC, etc.) for Interconnection and Transmission Service requirements. Extensive knowledge of SERC member utilities including Southern Company, Progress Energy, TVA, Florida Utilities, Electric Municipals and Electric Cooperatives. Provide guidance to clients regarding Transmission Market requirements including current and future pricing structures, FERC regulatory requirements and State regulatory requirements.

F. L. Vosberg, Farms, LLC

Owner/Managing Member

Wolf Hollow Land & Cattle, LLC

Owner/Managing Member

WIND CAPITAL GROUP, Chicago, IL

06/08 to 07/12

SVP – Transmission & Engineering

Member of senior management team at Wind Capital Group. Responsible for transmission and interconnection requirements to connect the company's fleet of wind farms. Member of team that procured Purchase Power Agreements, Wind Turbine Contracts, Balance of Plant Contracts and O&M Agreements. Direct involvement in financing packages of wind plant infrastructure. Individual responsibility for large power transformers, electrical equipment, transmission lines and engineering and transmission system interfaces. Responsible for large equipment transportation and handling domestic and international shipping, insurance requirements, transportation schedules, duties, etc.

Involved in all phases of design, procurement, construction, permitting and operation of the wind turbine fleet.

Supported regulatory body compliance, permitting, adherence to environmental permits and conformance with domestic and international legal requirements.





Worked with multiple Transmission Providers such as MISO, SPP, ERCOT, PJM and WECC regarding Transmission Service and Generator Interconnection. Participated in various advisory groups and committees of such Transmission Providers. Provided guidance related to NERC compliance for generation and transmission facilities.

Management duties included budgeting, hiring, performance reviews, work scheduling, salary and bonus recommendations, leadership, coaching, counseling and corporate restructuring.

Extensive knowledge and understanding of energy markets, tariffs, federal regulations and compliance requirements and independent transmission system operations.

ALLIANT ENERGY, Madison, WI

05/97 to 06/2008

Energy Delivery Project Manager

Responsible for providing technical customer assistance to Alliant Energy's account management team. Work included preparation of bid documents, contract administration, project management, engineering and procurement, cost management and customer satisfaction. Responsible for providing design/build proposals and contracts including project management for multi-million dollar projects. Detailed understanding of transmission systems, tariffs, generation (fossil, diesel, wind, landfill gas, digester), FERC requirements and regulations, contracts and system control.

Worked on a nationwide basis providing technical support to multiple clients in the renewable energy field. Specific responsibilities included all transmission system interface requirements for utility based renewable energy projects. Designed and supervised installation of wind plant Balance of Plant infrastructure and provided operations technical support.

Worked with multiple Transmission Providers such as MISO, SPP, ERCOT, PJM and WECC regarding Transmission Service and Generator Interconnection. Participated in various advisory groups and committees of such Transmission Providers. Provided guidance related to NERC compliance for generation and transmission facilities.

Provided direct guidance regarding initial development of wind turbine dynamic models for use by Transmission Providers to prepare System Impact Studies. Handled the initial technical issues related to wind turbines and Sub-Synchronous Interaction with long 345 KV transmission lines and high voltage DC back-to-back converter stations.

FRANCIS L. VOSBERG FARMS, LLC, Platteville, WI

11/95 to 05/97

Owner/Operator

Operated and managed 800 acre farming operation including all decision making and financial requirements of the operation.

SCENIC RIVERS ENERGY COOPERATIVE, Lancaster, WI

01/93 to 11/95

Director of Engineering

Responsible for all engineering including system planning, system protection, equipment procurement, rate schedules, standards and Cooperative interface with service territory governmental entities. Handled Cooperative litigation, economic development efforts and other special projects. Performed rate equalization studies and other special projects.





Served on local, State and National committees providing technical guidance to various regulatory agencies, regional bodies, economic groups and other associations.

Electric Operations Manager 04/88 to 01/93
Direct responsibility for all electrical operations of the Cooperative including union labor force.

Staff Assistant 11/87 to 04/88
Part of the electric cooperative management team. Developed an Environmental, Health and Safety Program. Achieved national safety accreditation for the cooperative. Supervised the Member Services Department. Established computerized inventory system. Completed rate studies, financial analysis, and electric system planning and handled special projects.

WISCONSIN ELECTRIC COOPERATIVE ASSOCIATION, Madison, WI 03/84 to 11/87
Chief Engineer

Responsible for all operations, financial and profit/loss requirements, personnel and management of a 25 person engineering department. Provided direct reports to Association's Board of Directors. Served as technical liaison, on behalf of the Wisconsin Electric Cooperatives at the local, state and national level. Prepared and provided testimony ahead of State and National Regulatory bodies.

Provided all technical services to association members plus various electric municipals and other rural electric cooperatives.

Provided electric studies including approval for electric rate adjustments from various approval authorities.

Responsible for direct interaction with State and Federal Regulatory bodies including testimony. Served on committees that provided recommendations to such regulatory bodies for proposed agency rules and regulations.

Electrical Engineer 01/79 to 03/84
Direct responsibility for substation, transmission and distribution facilities design. Project management responsibility for multiple, concurrent construction contracts.

CONOCO OIL COMPANY, Pinckeyville, IL 05/78 to 12/78
Reclamation Engineer
Direct responsibility for land reclamation activities for large open pit coal mines.

References

David Boyce
Chief Executive Officer Wind Capital Group
1 South Dearborn Avenue, Suite 700
Chicago, IL 60603

Robert Bergstrom Vice-President





Response to Louisiana Public Service Commission Request for Proposals for an Independent Technical Consultant

Nations Energy Services

24 Cathedral Place, Suite 612 St. Augustine, FL 32084 (904) 806-5003

Kim Zuhlke

Retired Executive, Alliant Energy 703 Pleasant Oak Drive

Oregon, WI 53575

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